

# Historic Restoration Fund

Grant Management Process  
February 20, 2013



## The HRF Process

## At This Point

- Contracts/Assistance Agreements
  - If you have completed all of the stipulations of the grant award, you should have received your Assistance Agreement
  - If not, please submit the requested information to Laura for review as soon as possible.

## At This Point

- Contracts/Assistance Agreements
  - Once the Agreement is submitted to Laura
    - Signed by Deputy Commissioner
    - Submitted to the Office of the Attorney General for execution
    - One copy is returned to you for your records

## At This Point

- Bid Documents should be in the process of being prepared by your consultant (Historical Architect or Engineer)
  - Send to Laura for review ASAP

# The Next Step-ACH Account

- SHPO Grantees will now be paid by direct deposit
- To set up your account go to
  - [www.osc.ct.gov](http://www.osc.ct.gov)
  - Click on Vendor Resources
  - Then click here



# The Next Step-ACH Account

- Choose your organization type

- Complete forms and
- Submit to OSC



**ACCOUNTS PAYABLE DIVISION**  
OFFICE of the STATE COMPTROLLER  
*Vendor Resources*

let's stay in touch  
f + YouTube

State Agency Resources   Retiree Resources   Employee Resources   Public Resources   Vendor Resources

### DIRECT DEPOSIT (ACH)

The Accounts Payable Division within the Office of the State Comptroller is pleased to offer Direct Deposit (ACH) for payment of invoices.

Vendors participating in Direct Deposit (ACH) are enrolled in Vendor Self-Serve (VSS), which allows vendors to check on outstanding invoices, confirm payment status, download invoices, or reconcile accounts receivable.

Through electronic banking, funds will be deposited into your financial institution the evening you see them as PAID in VSS. This allows you to utilize those funds on the very next business day.

Enrolling in Direct Deposit (ACH) is easy. Just click on the link to download the instructions and the enrollment form. Once enrolled, electronic payments will be securely deposited into the account specified by you on the enrollment form.

#### BENEFITS OF DIRECT DEPOSIT (ACH):

- » Faster, more secure payments
- » Eliminates mailing delays
- » Prevents fraudulent cashing of checks
- » Eliminates lost checks
- » Streamlines A/R process
- » Eliminates postage expense and other related costs to the State

#### IN CONJUNCTION WITH:

- » Get updates of pending payments
- » Track missing/delayed invoices
- » Process payments faster
- » Information is accessible outside normal business hours
- » Information is available on line which reduces the need to contact State agencies
- » View outstanding invoices
- » Assists in AR reconciliation

#### Direct Deposit (ACH) Enrollment Forms

- [Enrollment Form for Individuals](#)
- [Enrollment Form for Companies](#)
- [Enrollment Form for Towns](#)

## The Next Step

- Construction Bid Package, Drawings and Specifications Compliance Certification
  - (page 23 of the *Bidding, Contracting & Construction Guidelines*)



# Construction Bid Package, Drawings, and Specifications Compliance Certification

1  
CONSTRUCTION BID PACKAGE, DRAWINGS AND SPECIFICATIONS  
COMPLIANCE CERTIFICATION

GRANTEE: \_\_\_\_\_

PROJECT NAME AND MUNICIPALITY: \_\_\_\_\_

\_\_\_\_\_

I, \_\_\_\_\_, as the responsible grantee do hereby  
certify that the construction documents (Bid Package, Drawings & Specifications) shall  
be completed by a licensed Historical Architect for the above project and certify the  
following:

1. A complete copy of the Bid Package and Invitation to Bid shall be submitted to or  
reviewed by the Department of Economic & Community Development (DECD).
2. The Drawings and or Specifications for the above Project shall cover the scope of  
work, as identified in the HRF Application.
3. The DECD Bidding, Contracting and Construction Guidelines for State Programs  
have been thoroughly reviewed by the grantee and/or qualified design professional.
4. The Bid Package shall be technically correct and complete and shall clearly show that  
all of the DECD terms and conditions for bidding the project shall be met.

Signed \_\_\_\_\_

Title: \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_ Date \_\_\_\_\_

## The Next Step

- Construction Monitoring & Close-out Compliance Certification
  - (page 24 of the *Bidding, Contracting & Construction Guidelines*)

# Construction Monitoring & Close-out Compliance Certification

## CONSTRUCTION CONTRACT AND MONITORING COMPLIANCE CERTIFICATION

GRANTEE: \_\_\_\_\_

PROJECT NAME AND MUNICIPALITY: \_\_\_\_\_

\_\_\_\_\_

I, \_\_\_\_\_, and as the responsible grantee do hereby certify that the bid results shall be reviewed by a licensed professional engineer or architect for the above project and certify the following:

1. The qualified design professional shall assess and tabulate all of the bids and shall make a recommendation to award the bid to the lowest responsible bidder whose bid shall be the lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work.
2. The required bid result documentation shall be submitted to DECD at the completion of bidding before the grantee moves forward with executing the construction contract.
3. The lowest responsible bidders executed contract, grantee's authority to execute, and all other documentation required by the DECD once the general contract is executed shall be forwarded to the DECD before construction commences.
4. It shall be the responsibility of the grantee to provide construction oversight and inspection on the project by following all of the procedures and submitting all of the documentation indicated in the Construction Monitoring Procedures.

Signed \_\_\_\_\_

Title: \_\_\_\_\_

Address \_\_\_\_\_

Telephone \_\_\_\_\_ Date \_\_\_\_\_

|

# Bid Documents

- Bid Documents include:
  - Construction Level Plans and Specifications
    - Revised with any changes requested from SHPO
  - Invitation to Bid Document
  - CHRO Contract Compliance Regulations Notification to Bidders Form

# Bid Documents

Bid Packages should be sent to SHPO not less than two weeks proper to advertisement date

## The Bid Process

- Bid Documents will be reviewed and approved by SHPO
- Once the documents are approved, you can go out to bid

# **The Bid Process**

## **Advertising Your Project**

- Notify SHPO of the bid opening date, time, and location

# The Bid Process

## Advertising Your Project

- Legal Notice
  - Must be run in one of the following newspapers:

Hartford Courant	Waterbury Republican
New Haven Register	Bridgeport Post
Norwich Bulletin	Stamford Advocate

- Must be run for at least 2 days

*Legal Ads are an eligible reimbursement expense*



# The Bid Process

## Advertising Your Project

- Legal Notice must include the following statements:
  - Partial funding for this project is provided by Connecticut's Historic Restoration Fund
  - All work must meet the Secretary of the Interior's Standards for the Treatment of Historic Properties and be approved by the State Historic Preservation Office
- Legal Notice must end with the following statement:
  - "Your organization" is an Affirmative Action/Equal Opportunity Employer. Minority/Women's Business Enterprises are encouraged to apply

## The Bid Process

### Advertising Your Project

- We also recommend, but do not require, posting your legal notice on the DAS Portal

## The Bid Process

### Advertising Your Project

- For projects where the total project cost is below \$100,000
  - Bids may be solicited by letter, fax or email

*You must receive a minimum of 3 bids*

# The Bid Process

## Commission on Human Rights and Opportunities (CHRO)

- As a grantee you are required to “aggressively solicit the participation of legitimate minority business enterprises as bidders, contractors, subcontractors and suppliers of materials”
- All bidders must complete, sign, and return the “CHRO Contract Compliance Regulations Notification to Bidders” form to the grantee at the time of bid opening.
- Bids not including this form should be considered incomplete and rejected.

# The Bid Process

## Bonds/Certified Checks

- Municipalities:
  - Must require bid bonds (5% minimum) for contracts exceeding \$50,000 or subcontracts exceeding \$50,000
  - Must require a Performance Bond for contracts exceeding \$25,000 or a subcontract exceeding \$50,000
  - If a construction manager is employed, each subcontract exceeding \$100,000 shall be bonded or a certified check required

# The Bid Process

## Bonds/Certified Checks

- Nonprofits:
  - For contracts more than \$100,000:
    - require bid bonds or certified checks from the general contractor
  - For contracts less than \$100,000:
    - provide written notification to the DECD in order to meet these requirements for contracts less than \$100,000
    - negotiate a payment schedule with the contractor
    - secure lien waivers if Subcontractors are employed

# Insurance

- Required:
  - Copies of the Contractor's Insurance
  - Builder's Risk Insurance
  - Copies of grantees Liability Insurance

## Wage Rates

- Prevailing Wages are required for municipalities for projects where the total cost is \$100,000 or more
- Nonprofits do not have to comply with prevailing wages



# Prequalifying Bidders

- HRF projects do not allow for prequalifying bidders

# Construction Managers

- SHPO strongly encourages the use of a General Contractor and not a Construction Manager to ensure that three qualified bids are received
- If you are using a Construction Manager and not a General Contractor, you must receive at least 3 bids from each subcontractor's area of trade

# Procurement

Department of Economic and  
Community Development  
State Historic Preservation Office



## HRF Procurement Checklist

Grantee Name: \_\_\_\_\_ Award Amount \$ \_\_\_\_\_

Project Name: \_\_\_\_\_ Contract Start Date \_\_\_\_\_

Contract End Date \_\_\_\_\_

Required Items	Included	N/A	Comments
Fully executed contract	<input type="checkbox"/>	<input type="checkbox"/>	
Completed bid tabulation	<input type="checkbox"/>	<input type="checkbox"/>	
Copies of the three lowest responsive bids	<input type="checkbox"/>	<input type="checkbox"/>	
Copies of bid bonds/certified checks from the three lowest responsive bids	<input type="checkbox"/>	<input type="checkbox"/>	
Copies of legal advertisements and/or publishers affidavit from the newspaper	<input type="checkbox"/>	<input type="checkbox"/>	
Final copies of bid addendums	<input type="checkbox"/>	<input type="checkbox"/>	
Letter of recommendation from the Historical Architect	<input type="checkbox"/>	<input type="checkbox"/>	
Letter of acceptance from the grantee for the lowest qualified and responsible bidder	<input type="checkbox"/>	<input type="checkbox"/>	
Copies of DAS Posting	<input type="checkbox"/>	<input type="checkbox"/>	

## State Historic Preservation Office Approval

Project Manager: \_\_\_\_\_ Date: \_\_\_\_\_

Grant Staff: \_\_\_\_\_ Date: \_\_\_\_\_

# Procurement

- The following documents must be forwarded to SHPO for approval prior to awarding the bid:
  - Completed bid tabulation sheet
  - Copies of the 3 lowest bids
  - Signed copies of the CHRO form from the 3 lowest bids
  - Copies of bid bonds/certified checks from the 3 lowest bids
  - Copies of legal advertisements and/or affidavits from the newspaper
  - Copy of final addendums
  - Letter from Historical Architect recommending lowest, qualified and responsible bidder
  - Letter from grantee awarding the bid (must be reviewed and approved by SHPO before sending)

# Procurement

- Bid Tabulation Sheet
  - Spreadsheet that outlines each bid received, the bidder, amount, any add/alternates, etc.
- Copies of 3 lowest bids
  - Copy of all the documents submitted for the 3 lowest bidders

# Procurement

- Commission on Human Rights and Opportunities “Contract Compliance Regulations Notification to Bidders” Form
  - Must be completed by each bidder or the bid will be considered incomplete
  - Copies of the signed and completed forms for the three lowest bidder must be submitted to SHPO

# Procurement

- Copies of Bid Bonds/Certified Checks/Performance Bonds
- Copies of legal advertisements and/or affidavits from newspapers
- Copies of final addendums

# Procurement

- Letter from your Historical Architect recommending the lowest, qualified and responsible bidder
- Letter from the grantee that will award the bid to the lowest, qualified and responsible bidder
  - *The award must be approved by SHPO prior to the letter being sent*



## **Lowest Qualified and Responsible Bidder**

- The lowest of those bidders possessing the skill, ability and integrity necessary to faithfully perform the work

## Lowest Qualified and Responsible Bidder

- Should the grantee reject the lowest bidder as not responsible and/or not qualified
  - the grantee shall immediately notify SHPO of the reasons for the rejection and request DECD concurrence.

# Procurement

- If you receive less than 3 bids contact SHPO immediately

## Notice to Proceed


- In order to award your bid, you must receive a Notice to Proceed from SHPO
- Once you receive a notice to proceed you can award the bid and create your project sign
  - Project Signs must be reviewed and approved by SHPO

# Project Signs

## Guidelines for HRF Project Sign

*Blue Field/White Lettering*

*White Field/Black Lettering*

 <p><b>Project Sponsors</b></p> <p>The City of Pleasant Mary Smith, Mayor</p> <p>Peckhill &amp; Dunne, LLC, Architect</p> <p>Standard Plaster, Inc. Contractor</p>	<p><b>Preservation Means Jobs in Your Community</b></p> <p>The rehabilitation of 20 Forest Street, which is listed on the <i>National Register of Historic Places</i>, is funded by a matching grant from Connecticut's Historic Restoration Fund.</p>
<p><b>State of Connecticut</b></p> <p>The Honorable <b>Dannel P. Malloy</b> Governor</p>	<p><b>Administered by:</b></p> <p><b>The State Historic Preservation Office</b> <b>Department of Economic and Community Development</b> <b>Catherine Smith, Commissioner</b></p>

*White Field/Black Lettering*

*Blue Field/White Lettering*


Note: Minimum overall size of the project sign shall be no less than 2 feet high and 4 feet wide; grantees may not use more than \$200.00 in funds to help defray cost of procuring the project sign; project signs must be prominently displayed throughout the duration of the grant project in a location which is clearly visible from the principle street adjacent to the project site and should not be attached to the building.

# Project Signs Religious Properties

## Guidelines for HRF Project Sign: Churches, Synagogues, and Mosques

*Blue Field/White Lettering*

*White Field/Black Lettering*

 <p><b>Project Sponsors</b></p> <p>The City of Pleasant Mary Smith, Mayor</p> <p>Peckhill &amp; Dunne, LLC, Architect</p> <p>Standard Plaster, Inc. Contractor</p>	<p><b>Preservation Means Jobs in Your Community</b></p> <p>The rehabilitation of 20 Forest Street, which is listed on the <i>National Register of Historic Places</i>, is funded by a matching grant from Connecticut's Historic Restoration Fund.</p> <p>The State Historic Preservation Office has awarded a matching grant-in-aid for this project on the basis that the work funded is primarily secular in nature, intent and effect. The State Historic Preservation Office's involvement in this project is not meant and shall not be taken to mean that the State Historic Preservation Office or the State of Connecticut intends to promote religious worship of any kind or to profane the symbols of any religion.</p>
<p><b>State of Connecticut</b></p> <p>The Honorable <b>Dannel P. Malloy</b> Governor</p>	<p><b>Administered by:</b></p> <p><b>State Historic Preservation Office</b> <b>Department of Economic and Community Development</b> <b>Catherine Smith, Commissioner</b></p>

*White Field/Black Lettering*

*Blue Field/White Lettering*

Note: Minimum overall size of the project sign shall be no less than 2 feet high and 4 feet wide; grantees may not use more than \$200.00 in funds to help defray cost of procuring the project sign; project signs must be prominently displayed throughout the duration of the grant project in a location which is clearly visible from the principle street adjacent to the project site and should not be attached to the building.

# Grantee Responsibilities

- Make sure to read over the section of the *Bidding, Contracting & Construction Guidelines* on Grantee Responsibilities

## Once the project has been awarded

- Submit a copy of the contract between the grantee and the contractor to SHPO
- Certificate of Insurance from general contractor covering liability and workers' compensation and builder's risk



## Prior to Construction

- Submit a copy of the contractor's approved schedule of values
- Copy of the contractor's construction schedule

# Once Construction Starts

- Any adjustments to the schedule throughout construction must be submitted to SHPO
- Approved monthly requisitions
  - Back up materials may be requested
- Job meeting minutes
- Copies of correspondence between Owner, Architect and/or Contractor

## Once Construction Starts

- Any changes in the Scope of Work must be reviewed and approved by SHPO prior to the work being completed
  - If the work is not pre-approved, the expenses will be considered ineligible toward reimbursement and SHPO may require the work be removed
- Submit Change Work orders on an AIA Change Order Form

# The Closeout Process

Department of Economic and  
Community Development  
State Historic Preservation Office



## HRF Grant Closeout Checklist

Grantee Name: \_\_\_\_\_ Award Amount \$ \_\_\_\_\_

Project Name: \_\_\_\_\_ Contract Start/End Date \_\_\_\_\_

Required Items	Included	N/A	Comments
Fully executed contract	<input type="checkbox"/>	<input type="checkbox"/>	
Approved Procurement	<input type="checkbox"/>	<input type="checkbox"/>	
Final Site Visit	<input type="checkbox"/>	<input type="checkbox"/>	DATE: _____
Proof of Payment	<input type="checkbox"/>	<input type="checkbox"/>	
Invoice Summary Sheet	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Actual Eligible Costs	<input type="checkbox"/>	<input type="checkbox"/>	
Photographs of Completed Work and Project Sign	<input type="checkbox"/>	<input type="checkbox"/>	
Summary Report of Project	<input type="checkbox"/>	<input type="checkbox"/>	
Final Application and Certificate for Payment (AIA form G702, and continuation sheet G703)	<input type="checkbox"/>	<input type="checkbox"/>	
Lien Waiver from the Contractors	<input type="checkbox"/>	<input type="checkbox"/>	
Certificate of Conformance	<input type="checkbox"/>	<input type="checkbox"/>	
Fully executed and filed Preservation Restriction	<input type="checkbox"/>	<input type="checkbox"/>	
State Single Audit**	<input type="checkbox"/>	<input type="checkbox"/>	

\*\*State Single Audits are required from grantees which receive \$300,000 or more in funding assistance from the State of Connecticut within the fiscal year that the project is completed. In accordance with established DECD policy, grants reimbursements may be made to municipalities prior to the receipt of the appropriate annual audit if the municipality provides the DECD with written assurance that a copy of that annual audit will be forwarded to the DECD as soon as it becomes available.

### State Historic Preservation Office Approval

Project Manager: \_\_\_\_\_ Date: \_\_\_\_\_

Grant Staff: \_\_\_\_\_ Date: \_\_\_\_\_

## Closeout Process

- Once the project is complete, contact Laura for a final site visit

# Closeout Documents

- Invoices and Proofs of Payment
- Invoice Summary Sheet
- Certificate of Actual Eligible Costs
- Summary of Work Completed
- Photographs of the final project

# Closeout Documents

- Final Application and Certificate for Payment (AIA form G702, and continuation sheet G703)
- Lien Waiver
- Certificate of Conformance stating that the completed project meets the Secretary of the Interior's Standards for the Treatment of Historic Properties (page 27)
- Preservation Restriction

# Preservation Restriction

- As an HRF grantee, you agree to place a preservation restriction or easement on the entire legal parcel for a pre-determined length of time, depending on the grant award
- Any work on the legal parcel, except regular maintenance, must be approved by SHPO and the Historic Preservation Council prior to the work commencing



# Preservation Restriction

- Public Viewing
  - The grantee/owner also agrees to allow the public the opportunity to visit the property to view the project
  - Visitation must be at least 12 days a year at specified times
  - These times should be published as public notices in the newspaper of record
    - These notices should be sent to SHPO

# Preservation Restriction

- The grantee also guarantees that the use of the property will not change without prior consent of SHPO

# Preservation Restriction

- Time Frame

- Grant assistance from \$0 to \$20,000—5 years
- Grant assistance from \$20,001 to \$50,000—10 years
- Grant assistance from \$50,001 to \$100,000—15 years
- Grant assistance in excess of \$100,000—20

*Any subsequent grant awards add time to the restriction*

# Closeout Documents

- Preservation Restriction
  - Once the project is complete submit 2 copies of the preservation restriction document and the following to SHPO:
    - a copy of the property's current insurance policy
    - a certified resolution that empowers one or more individuals to execute the project preservation restriction
    - a copy of the Certificate of Title
    - photographs of the property and the completed work

# Closeout Documents

- Preservation Restriction
  - SHPO will sign the documents and submit to the Office of the Attorney General for review and approval.
  - Once approved, SHPO will return the fully executed document to you to file at the Town Clerk or Local Land Records Office

## Closeout Process

- Once all the documents have been received, and the preservation restriction has been filed SHPO can request payment

**Questions?????**